

10/22/01
J1129 U.S. PTO

Old S. 966501
10/22/01

UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No.

2317-107

First Inventor

Charles B. GRISSOM

Title

BIOCONJUGATES AND DELIVERY OF BIOACTIVE AGENTS

Only for new nonprovisional applications under 37 CFR 1.53(b)

☒ Assignee Information: University of Utah Research Foundation
Salt Lake City, Utah 84108

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner of Patents
Box Patent Application
Washington, D.C. 20231

1. ☒ Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
3. ☒ Specification Total pages [77]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross references to Related Applications
 - Statement Regarding Fed sponsored R&D
 - Reference to sequence listing, a table or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings
 - Detailed Description
 - Claims
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) (Total Sheets) [9]
5. ☒ Oath or Declaration (Total Pages) [6]
 - a. ☐ Newly executed (original or copy)
 - b. ☒ Copy from a prior application
(37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting
inventor(s) named in the prior application.
6. ☐ Application Data Sheet.

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program
8. Nucleotide and/or Amino Acid Sequence Submission
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

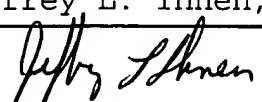
9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement
(when there is an assignee)
 - ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement /PTO 1449
 - ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s).
16. ☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i).
17. ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below or in an application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/202,328
Prior application information: Examiner J. Zara Group/Art Unit 1635

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

☒ Customer Number or Bar Code Label 6449

| | | | | | |
|-----------|---|-----------|--------------|----------|-----------------|
| Address | Rothwell, Figg, Ernst & Manbeck Suite 701-East, 555 13th Street, N.W. | | | | |
| City | Washington | State | D.C. | Zip Code | 20004 |
| Country | U.S.A. | Telephone | 202-783-6040 | Fax | 202-783-6031 |
| Name | Jeffrey L. Ihnen, Reg. No. 28,957 | | | | |
| Signature |  | | | Date | 19 OCTOBER 2001 |

| | | | |
|---|-------------|------------------------|--------------------|
| FEE TRANSMITTAL for FY 2001 (Small Entity) | | ATTN: BOX APPLN | |
| | | Application Number | (to be assigned) |
| | | Filing Date | 19 October 2001 |
| | | First Named Inventor | Charles B. GRISSOM |
| | | Examiner Name | J. Zara |
| | | Group Art Unit | 1635 |
| Total Amount of Payment | (\$ 577.00) | Attorney Docket Number | 2317-107 |

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge additional fees and credit any overpayment to Deposit Account Number 02-2135 in the name of Rothwell, Figg, Ernst & Manbeck
- ☒ Charge any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status.
2. ☒ Payment Enclosed:
☒ Check
☐ Credit Card

FEE CALCULATION
1. FILING FEE

| Fee Code | Fee \$ | Fee Description | Fee Paid |
|----------|--------|------------------------|----------|
| 201 | 370 | Utility filing fee | [370.00] |
| 206 | 165 | Design Filing Fee | [] |
| 207 | 255 | Plant Filing Fee | [] |
| 208 | 370 | Reissue Filing Fee | [] |
| 214 | 80 | Provisional Filing Fee | [] |

SUBTOTAL \$ 370

2. CLAIMS

| Total Claims | Independent Claims | Multiple Dependent Claims | Extra Claims | Fee | Fee Paid |
|--------------|--------------------|---------------------------|--------------|-------|----------|
| [43] | - 20** = [23] | x | \$ 9 = | | [207.00] |
| | [1] | - 3** = [--] | x | 42 = | [] |
| | | | + | 140 = | [] |

**or number previously paid, if greater;

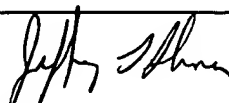
SUBTOTAL \$ 207

FEE CALCULATION (continued)
3. ADDITIONAL FEES

| Fee Code | Fee Paid | Fee Description | Fee Paid |
|---------------------|----------|--|----------|
| 205 | 65 | Surcharge - late filing fee or oath | [] |
| 227 | 25 | Surcharge - late provisional filing fee or cover sheet | [] |
| 139 | 130 | Non-English specification | [] |
| 147 | 2,520 | For filing a request for reexamination | [] |
| 112 | 920 | Requesting publication of SIR prior to Examiner action | [] |
| 113 | 1,840* | Requesting publication of SIR after Examiner action | [] |
| 215 | 55 | Extension for reply within first month | [] |
| 216 | 200 | Extension for reply within second month | [] |
| 217 | 460 | Extension for reply within third month | [] |
| 218 | 720 | Extension for reply within fourth month | [] |
| 228 | 980 | Extension for reply within fifth month | [] |
| 219 | 160 | Notice of Appeal | [] |
| 220 | 160 | Filing a brief in support of an appeal | [] |
| 221 | 150 | Request for Oral Hearing | [] |
| 138 | 1,510 | Petition to institute a public use proceeding | [] |
| 240 | 55 | Petition to revive -unavoidable | [] |
| 241 | 640 | Petition to revive - unintentional | [] |
| 242 | 640 | Utility issue fee (or reissue) | [] |
| 243 | 230 | Design issue fee | [] |
| 244 | 310 | Plant issue fee | [] |
| 122 | 130 | Petitions to the Commissioner | [] |
| 123 | 50 | Processing fee under 37 CFR 1.17(q) | [] |
| 126 | 180 | Submission of Information Disclosure Statement | [] |
| 581 | 40 | Recording each patent assignment per property (times number of properties) | [] |
| 246 | 370 | Filing a submission after final rejection (37 CFR .129(a)) | [] |
| 249 | 370 | For each additional invention to be examined (37 CFR 1.129(b)) | [] |
| 279 | 370 | Request for Continued Examination (RCE) | [] |
| 169 | 900 | Request for expedited examination of a design application | [] |
| 195 | 300 | Publication fee for early, voluntary, or normal publication | [] |
| 196 | 300 | Publication fee for republication | [] |
| 089 | 200 | Filing an application for patent term adjustment | [] |
| 090 | 400 | Request for reinstatement of term reduced | [] |
| Other fee (specify) | | | [] |

* Reduced by Basic Filing Fee Paid

SUBTOTAL \$

| | | | | | |
|----------------------|---|--------------------------|-----------------|----------------------|---------|
| SUBMITTED BY | | Complete (if applicable) | | | |
| NAME AND REG. NUMBER | Jeffrey L. Ihnen, Reg. No. 28,957 | | | | |
| SIGNATURE |  | DATE | 19 OCTOBER 2001 | DEPOSIT ACCT USER ID | 02-2135 |